



IAPD Report

Thomas W Repaskey

CRD# 1101868

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Thomas W Repaskey (CRD# 1101868)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVISOR SHARE WEALTH MANAGEMENT, LLC	CRD# 307997	04/25/2025
IA	CARDINAL FINANCIAL CONSULTANTS, LLC	CRD# 147918	05/09/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	ADVISOR SHARE WEALTH MANAGEMENT, LLC	307997	Okemos, MI	10/18/2024 - 12/31/2024
IA	CARDINAL FINANCIAL CONSULTANTS, LLC	147918	OKEMOS, MI	01/05/2011 - 12/31/2024
IA	SPC	110692	Okemos, MI	09/03/2024 - 09/12/2024

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CARDINAL FINANCIAL CONSULTANTS, LLC**
Main Address: 4295 OKEMOS RD. #120
OKEMOS, MI 48864
Firm ID#: 147918

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	05/09/2025

Branch Office Locations

CARDINAL FINANCIAL CONSULTANTS, LLC
4295 Okemos Rd #120,
Okemos, MI 48864

Employment 2 of 2

Firm Name: **ADVISOR SHARE WEALTH MANAGEMENT, LLC**
Main Address: 13215 SE MILL PLAIN BLVD
SUITE C8-321
VANCOUVER, WA 98684
Firm ID#: 307997

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	04/25/2025

Branch Office Locations

ADVISOR SHARE WEALTH MANAGEMENT, LLC
4295 Okemos Road #120
Okemos, MI 48864




Qualifications

PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	11/13/2006

General Industry/Product Exams

Exam	Category	Date
 National Commodity Futures Examination (S3)	Series 3	02/26/1990
 General Securities Representative Examination (S7)	Series 7	05/21/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/27/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/18/2024 - 12/31/2024	ADVISOR SHARE WEALTH MANAGEMENT, LLC	CRD# 307997	Okemos, MI
IA	01/05/2011 - 12/31/2024	CARDINAL FINANCIAL CONSULTANTS, LLC	CRD# 147918	OKEMOS, MI
IA	09/03/2024 - 09/12/2024	SPC	CRD# 110692	Okemos, MI
B	07/28/2006 - 05/15/2007	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	OKEMOS, MI
B	08/13/2001 - 08/24/2006	CAMBRIDGE GROUP INVESTMENTS, LTD.	CRD# 47399	EAST LANSING, MI
B	01/16/1991 - 08/27/2001	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	09/30/1987 - 11/20/1990	FIRST OF MICHIGAN CORPORATION	CRD# 311	DETROIT, MI
B	05/26/1983 - 08/25/1987	PRESCOTT, BALL & TURBEN, INC.	CRD# 7656	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2024 - Present	Advisor Share Wealth Management, LLC	Investment Adviser Representative	Y	Vancouver, WA, United States
08/2008 - Present	CARDINAL INVESTMENT ADVISORS, LLC	PRESIDENT	Y	OKEMOS, MI, United States
08/2008 - Present	CARDINAL INVESTMENT ADVISORS, LLC	PRESIDENT	Y	OKEMOS, MI, United States
08/2024 - 09/2024	Sigma Planning Corporation	Investment Adviser Representative	Y	Ann Arbor, MI, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

11/1997 TO PRESENT - shareholder of TransPac, LLC which takes 2 hours per month. President of CarsINC, a 501 c 3 charity in which we give cars to single mothers to help them get a job or keep a job. It takes about 2 hours a week.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CHICAGO BOARD OF OPTION EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/23/1987
Docket/Case Number:	89-0010
Employing firm when activity occurred which led to the regulatory action:	PRESCOTT, BALL & TURBEN
Product Type:	Other
Other Product Type(s):	
Allegations:	REPASKEY, EFFECTED NUMEROUS STOCK AND OPTION TRANSACTIONS IN A CUSTOMER'S SAVING AND PROFIT SHARING TRUST ACCOUNT AND THE CUSTOMER'S PENSION TRUST ACCOUNT ON A DISCRETIONARY BASIS WITHOUT THE CUSTOMER'S PRIOR WRITTEN AUTHORIZATION AND PRIOR WRITTEN APPROVAL BY THE FIRM.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/23/1989
Sanctions Ordered:	Censure



Other Sanctions Ordered:

Sanction Details: THIS CASE WAS RESOLVED BY AN OFFER OF SETTLEMENT WHEREBY RESPONDENT THOMAS WILLIAM REPASKEY DID NOT ADMIT OR DENY THAT CBOE RULES HAD BEEN VIOLATED. SANCTION:A CENSURE. IN ASSESSING THE PENALTY, THE COMMITTEE CONSIDERED THE FACT THAT THE RESPONDENT CONTRIBUTED APPROXIMATELY \$8,000 TOWARD THE FIRM'S SETTLEMENT WITH THE CUSTOMER REFERRED TO ABOVE. DOCKET/CASE #89-0010, DATED MAY 23, 1989

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Reporting Source: Individual
Regulatory Action Initiated By: THE CHICAGO BOARD OPTIONS EXCHANGE

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 09/23/1987
Docket/Case Number: 89-0010
Employing firm when activity occurred which led to the regulatory action: PRESCOTT, BALL & TURBEN

Product Type:
Other Product Type(s):

Allegations: APPARENT VIOLATION OF EXCHANGED RULE 4.1 & 9.10 FOR EFFECTING NUMEROUS STOCK & OPTION TRANSACTIONS WITHOUT CUSTOMER PRIOR APPROVAL MY PRESCOTT, BALL & TURBEN

Current Status: Final
Resolution: Consent
Resolution Date: 05/23/1989
Sanctions Ordered: Censure

Other Sanctions Ordered:
Sanction Details: THE CHICAGO BOARD OPTIONS EXCHANGE, UNDER FILE #89-0010 PUBLISHED A DECISION ACCEPTING OFFER & SETTLEMENT, WHEREBY I NEITHER-ADMITTED OR DENIED THE CHARGES BUT CONSENTED TO A CENSURE.

Broker Statement THE EXCHANGE REGULATORY DIVISION INVESTIGATED THE MATTER, REQUESTED, RECEIVED & REVIEWED INFORMATION, AND PUBLISHED THEIR FINDINGS.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: MCDONALD & COMPANY SECURITIES INC.
Allegations: >06/19/01 CHURNING, UNAUTHORIZED TRADING
Product Type: Other
Other Product Type(s): UNKNOWN TYPE OF SECURITIES
Alleged Damages: \$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #00-03717
Date Notice/Process Served: 08/25/2000
Arbitration Pending? No
Disposition: Award
Disposition Date: 05/17/2001
Disposition Detail: RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANT \$25,000.00 PLUS INTEREST.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.
Allegations: CUSTOMER ALLEGED UNSUITABLE AND UNAUTHORIZED INVESTMENTS WERE MADE FOR CUSTOMER'S ACCOUNT.
Product Type: Mutual Fund(s)
Alleged Damages: \$29,175.00

Customer Complaint Information

Date Complaint Received: 08/25/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/20/2001
Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO.00-03717

Date Notice/Process Served: 06/01/2000

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/20/2001

Monetary Compensation Amount: \$29,175.00

Individual Contribution Amount: \$0.00

Broker Statement PAYMENT WAS TO BE MADE BY JUNE 20, 2001.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRESCOTT BALL & TURBEN

Allegations: REPASKEY WAS DISCHARGED ON 8/12/87 WHEN IT WAS DETERMINED THAT HE HAD AN OUTSIDE BUSINESS ACTIVITY TO WHICH THE FIRM HAD NOT GIVEN ITS APPROVAL. ***** REPASKEY WAS THE SUBJECT OF A COMPLAINT MADE BY THE TRUSTEES OF THE EDMUNDS & FISHER PENSION AND PROFIT SHARING TRUSTS THAT OPTIONS MADE IN THE ACCOUNTS WERE UNSUITABLE AND INCONSISTENT WITH THE OBJECTIVES AND PURPOSES OF THE TRUSTS RESULTING IN LOSSES OF APPROXIMATELY \$54,000.00.

Product Type:

Alleged Damages: \$54,000.00

Customer Complaint Information

Date Complaint Received: 04/30/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$38,000.00

Individual Contribution Amount: \$15,200.00

Firm Statement REPASKEY WAS DISCHARGED ON 8/12/87 WHEN IT WAS DETERMINED THAT HE HAD AN OUTSIDE BUSINESS ACTIVITY TO WHICH THE FIRM HAD NOT GIVEN ITS APPROVAL. ***** REPASKEY WAS THE SUBJECT OF A COMPLAINT MADE BY THE TRUSTEES OF THE [CUSTOMER] THAT OPTIONS



MADE IN THE ACCOUNTS WERE UNSUITABLE AND INCONSISTENT WITH THE OBJECTIVES AND PURPOSES OF THE TRUSTS RESULTING IN LOSSES OF APPROXIMATELY \$54,000.00.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRESCOTT BALL & TURBEN

Allegations: UNSUITABLE TRADING INCONSISTENT WITH THE OBJECTIVES AND PURPOSES OF THE TRUST RESULTING IN LOSSES OF APPROXIMATELY \$54,000.

Product Type:

Alleged Damages: \$54,000.00

Customer Complaint Information

Date Complaint Received: 04/30/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$38,000.00

Individual Contribution Amount: \$15,200.00

Broker Statement AFTER REVIEWING THE COMPLAINT AND MEETING WITH THE TRUSTEES AND THEIR ACCOUNTANT, IT WAS DETERMINED THAT THE LIMITED PARTNERSHIP INVESTMENT WAS SUITABLE FOR THE PROFIT SHARING TRUST. I RESOLVING THE DISPUTE CONCERNING THE OPTION TRADING, THE FIRM (PRESCOTT) DETERMINED TO SETTLE THE MATTER FOR \$38,000. OF THE \$38,000 SETTLEMENT, PER FIRM POLICY, REPASKEY WAS REQUIRED TO PAY \$15,200.
Not Provided



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual
Firm Name: PRESCOTT, BALL & TURBEN, INC.
Termination Type: Discharged
Termination Date: 08/12/1987
Allegations: N/A
PERFORMING OUTSIDE BUSINESS ACTIVITY TO WHICH THE FIRM HAD NOT GIVEN ITS APPROVAL.

Product Type:

Other Product Types:

Broker Statement

I WAS DISCHARGED FROM THE FIRM.
DURING MARCH '87 THROUGH JULY '87, APPROXIMATELY 300 HOURS, MOSTLY NOT DURING MARKET HOURS, I ANALYZED THE ACQUISITION OF A BRICK COMPANY IN MANSFIELD, OHIO. THERE WAS NO FORMAL STRUCTURE TO THE GROUP I WAS HELPING TO NEGOTIATE AND ARRANGE BANK FINANCING. WHEN IT APPEARED THE PURCHASE MAY OCCUR
IN JULY, I ASKED FOR PERMISSION TO SPEND ONE DAY PER WEEK FOR SEVERAL MONTHS TO DEVELOP ACCOUNTING SYSTEMS. MY MANAGER ADVISED ME AGAINST IT SO I WITHDREW. SUBSEQUENTLY, THE OTHER PRINCIPAL WROTE A LETTER ATTEMPTING TO ALLEGE RESPONSIBILITY PRESCOTT BECAUSE THEY ENCOURGED ME TO WITHDRAW. THERE IN NO MERIT TO THEIR POSITION BUT PRESCOTT APPARENTLY FELT "AT RISK" AND DISCHARGED ME FOR NOT NOTIFYING THEM IN MARCH OF THE ACTIVITY. I PRESUMED THIS ACTIVITY TO BE INFORMAL WITH NO CERTAINTY OF SATISFACTORILY COMPLETING THE PURCHASE AND THEREFOR DID NOT REALIZE THIS WOULD BE CONSTRUED AS AN UNRELATED BUSINESS ACTIVITY WHICH REQUIRED PERMISSION. NO ONE NOTIFIED ME THAT THIS PRELIMINARY WAS "UNRELATED BUSINESS ACTIVITY" SO I WAS UNAWARE OF THE NEED TO GIVE FORMAL NOTICE.



End of Report

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